

07 Rec'd PCT/PTO 31 JUL 2000

## PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the **PATENT APPLICATION** of:

	Braud et al.
<b>Application No.:</b>	09/555,555
<b>Filing Date:</b>	June 1, 2000
<b>For:</b>	HLA-E BINDING
<b>Group:</b>	5071
<b>Examiner:</b>	Not Yet Known

Our File: SHP-PT059

Date: August 15, 2000

## COMMUNICATION RE REFUND REQUEST

Box 17  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

This Communication is further to the Refund Request and Small Entity Statement which were filed on July 31, 2000 with respect to the above-identified application. It has come to Applicants' attention that the Refund Request contained an error as to the Application Number and Filing Date. The Small Entity Statement had, in fact, the correct patent application number, namely, 09/555,555. A copy of the Small Entity Statement and original Refund Request are attached hereto.

It is respectfully requested that Applicants' original Refund Request pursuant to 37 C.F.R. § 1.2(a) for a refund of Four Hundred and Twenty Dollars (\$420.00) for the Filing Fee be granted since a proper Small Entity Declaration was submitted with the Refund


Applicant: Braud et al.  
Application No.: 09/555,555

Request on July 31, 2000. Applicants' undersigned counsel sincerely apologizes for any inconvenience caused due to the error in the application number, but believe the requirements of 37 C.F.R. § 1.2(a) were substantively met by the Refund Request filed of July 31, 2000.

Please credit the refund to Deposit Account No. 22-0493 under our Order No. 972. Two copies of this Communication are enclosed. If there are any questions regarding this matter, please contact Applicants' undersigned attorney. Thank you very much for your attention to this matter.

Respectfully submitted,

Braud et al.

By   
C. Frederick Koenig III, Esquire  
Registration No. 29,662  
(215) 568-6400

Volpe and Koenig, P.C.  
Suite 400, One Penn Center  
1617 John F. Kennedy Boulevard  
Philadelphia, PA 19103

CFK/fap  
Enclosure

## PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## In the PATENT APPLICATION of:

	Braud et al.
Application No.:	09/043,838
Filing Date:	March 27, 1998
For:	HLA-E BINDING
Group:	3761
Examiner:	T. Martin

Our File: SHP-PT059

Date: July 31, 2000

## REFUND REQUEST

Box 17  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

Pursuant to 37 C.F.R. § 1.28(a) a refund of Four Hundred Twenty Dollars (\$420) for the filing fee is respectfully requested. Enclosed herewith is a Declaration Supporting Claim for Small Entity Status By Nonprofit Organization.

This Refund Request is timely, being made prior to the first business day of the two month anniversary of the filing date on which the full filing fee was paid, 37 C.F.R. § 1.7.

*In Reference to 09/55555*

Under the Patent and Trademark Act of 1995, no person is required to respond to a collection of information unless it displays a valid OMB control number. Approved for use through 9/30/00: OMB 0891-0031 Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

# STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(i) & 1.27(d)) - NONPROFIT ORGANIZATION

Docket Number (Optional)  
SHP-PT058

Applicant, Patentee, or Identifier: Braud et al.

Application or Patent No.: 09/555,555

Filed or issued: Not Yet Known

Title: HLA-E BINDING

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION ISIS Innovation Limited of Oxford University

ADDRESS OF NONPROFIT ORGANIZATION Ewert House, Ewert Place, Summertown, Oxford OX2 7BZ  
United Kingdom

## TYPE OF NONPROFIT ORGANIZATION:

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(c) and 501(c)(3))
- ☐ NON-PROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(c) and 501(c)(3))  
IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification filed herewith with title as listed above.
- ☒ the application identified above.
- ☐ the patent identified above.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.
- ☐ each such person, concern, or organization is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING

Dr. T. Cook

TITLE IN ORGANIZATION OF PERSON SIGNING

Managing Director

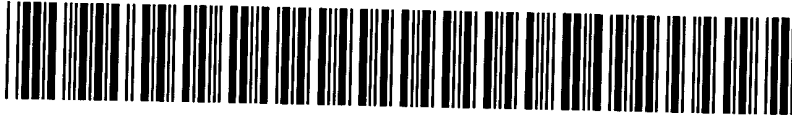
ADDRESS OF PERSON SIGNING

ISIS Innovation Ltd

SIGNATURE

[Signature] 092 400 UK DATE: 22-7-00

**Budget Hour Statement:** This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Creation date: 09-29-2003  
Indexing Officer: JCOBB - JALESHA COBB  
Team: OIPEBackFileIndexing  
Dossier: 09555555

Legal Date: 07-31-2000

No.	Doccode	Number of pages
1	LET.	8

Total number of pages: 8

Remarks:

Order of re-scan issued on .....